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MRAP OU III AR 562 3-27 RECORDS MGMT
MONTICELLO PROGRAM RECORDS MANAGEMENT
PLAN 3/8/96

**U.S. Department of Energy
Grand Junction Projects Office**

**Monticello Program
Records Management Plan**

- Monticello Remedial Action Project (MRAP), OU I and OU II
- Monticello Surface- and Ground-Water Project Remedial Action Project (MSGRAP), OU III
- Monticello vicinity Properties (MVP) Project



**U.S. Department of Energy
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**Monticello Program
Records Management Plan**

- Monticello Remedial Action Project (MRAP), OU I and OU II
- Monticello Surface and Ground-Water Project Remedial Action Project (MSGRAP), OU III
- Monticello Vicinity Properties (MVP) Project

Prepared for
U.S. Department of Energy
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Grand Junction Projects Office

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Summary of Changes

March 8, 1996

The previous Appendix A and Appendix B were integrated into the text as figures, and Appendix C (a reference to the *MP Manual*) was deleted.

The document was reformatted to accommodate the issuance of guidance (Appendix A, "Update and Use of the Monticello Projects Document Logs") on using and updating the Monticello document logs. The corporate acronym was updated for consistency with Appendix A. The reformatting also will accommodate incremental revisions of the plan in the future, thus improving the responsiveness of the program to users needs and simplifying the overall revision process.

Signature Page

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1.0 Introduction

The U.S. Department of Energy (DOE), Region VIII of the U.S. Environmental Protection Agency (EPA), and the State of Utah have entered into a Federal Facility Agreement (FFA) for remediation activities in Monticello, Utah. The primary remediation projects include the Monticello Remedial Action Project (MRAP), Operable Unit I, which includes the Monticello Peripheral Properties (MPP) Project, Operable Unit II; the Monticello Surface Water and Groundwater Remedial Action Project (MSGRAP), Operable Unit III; and the Monticello Vicinity Properties (MVP) Project.

Rust Geotech (Rust), the operating contractor for the DOE Grand Junction Projects Office (GJPO), is responsible for various activities supporting the remediation in Monticello. One task is the development and implementation of a records management program that complies with applicable DOE Orders and Federal regulations.

This document combines the remediation projects in Monticello (commonly referred to as the Monticello Program) under one records management program plan and supersedes the following records management program plans:

- *Monticello Remedial Action Project Records Management Plan, P-GJPO-121*
- *Monticello Vicinity Properties Project Records Management Plan, P-GJPO-132.*
- *Monticello Surface- and Ground-Water Remedial Action Project Records Management Plan, P-GJPO-756.*

2.0 Records Management Program

The objectives of the records management program are to maximize the usefulness and protection of important program information while minimizing the record keeping burden and cost. These objectives are achieved through establishment and implementation of continuous, systematic, and effective controls for each phase of a records's life cycle: creation, use and active storage, retention, and disposition. The controls to be applied for records generated under the Monticello Program (i.e., MRAP, MPP Project, MSGRAP, and MVP Project) are defined in this Records Management Plan (Plan).

This Plan is to be used in conjunction with the Rust *Management Policies Manual* (Manual 100), Section 13, "Records Management." Section 13 defines the scope of the records management function and contains guidelines for creating, storing, tracking, and disposing of records. The Monticello Program records management program is conducted in accordance with DOE Order 1324.2A, *Records Disposition*; DOE Order 1324.5A, *Records Management Program*; Title 36 of the *Code of Federal Regulations*, Chapter XII, Subchapter B, *Records Management*; and Rust's Quality Assurance Program.

This Plan provides guidance for the management of the Monticello Program records from creation to final disposition. The guidance ensures that Monticello Program records are

- Generated, inventoried, and identified.
- Indexed and incorporated in the Monticello Program document logs according to the project-specific file indices.
- Accounted for and controlled to protect against loss, damage, or unauthorized access.
- Retrieved efficiently.
- Dispositioned according to applicable requirements, procedures, and authorized schedules approved by the National Archives and Records Administration (NARA).

3.0 Responsibilities

Responsibilities for generating, maintaining, and dispositioning of records are shared by the Monticello Program management, functional organizations, and Information Support Services (ISS) as follows:

3.1 Manager, Monticello Programs

The Manager, Monticello Programs, or designee, is responsible for

- Ensuring that the Records Management Plan for the Monticello Program is implemented by cognizant project staff.
- Reviewing and concurring with all revisions to the file indices, the procedures generated to implement and/or support this Plan, and the contents of the Plan.

3.2 Manager, Remedial Action

The Manager, Remedial Action, or designee, is responsible for

- Ensuring Monticello site personnel implement the requirements of this Plan.
- Ensuring compliance with this Plan, including adequate creation, proper protection, and timely transfer of program records according to the file indices.
- Ensuring that the file indices identify the records generated and received in support of site activities.
- Submitting revisions to this Plan and the file indices to ISS for review, concurrence, and incorporation.

3.3 Records Coordinators

Records Coordinators for the ancillary file stations are designated by the applicable section or subsection supervisor. Records Coordinators responsibilities include, but are not limited to,

- Complying with the requirements of the Plan, including the file indices and the document logs.
- Maintaining control, protection, and accountability of the records in their custody.
- Coordinating turnover of records to the central file station for storage.
- Maintaining an overall understanding of the records management program as described in this Plan.
- Maintaining knowledge of the types of records generated and/or received by the organizations they serve.
- Attending the Rust records management training seminars.
- Performing records-related tasks as delegated.

3.4 Functional Organization Personnel

Functional organization personnel assigned to or providing support to the Monticello Program are responsible for

- Ensuring that the required records are generated and maintained for their organization and activities as outlined in the file indices.
- Ensuring that all records generated are complete, legible, and identified by the appropriate file numbers as listed in the file indices.
- Ensuring the file indices identify their records and submitting necessary revisions to ISS for review, concurrence and input.

3.5 Manager, Information Support Services

The Manager, ISS, or designee, is responsible for

- Assigning cognizant staff personnel to assist Monticello Program management develop the records management program and to oversee its implementation.
- Staffing the central file station, providing records management training, and reviewing and concurring with all revisions to this Plan.
- Performing periodic, comprehensive assessments of the records management program and Plan. The assessments will be conducted semiannually within each fiscal year. Assessments will be performed according to the guidance provided in the Rust *Quality Assurance Manual*, Criterion 9, "Management Assessment." The assessments will be documented and included with the applicable project files. Revisions to the program and/or Plan will be initiated and implemented as necessary.

3.6 ISS Records Management Coordinators

ISS Records Management Coordinators supporting the Monticello Program are responsible for

- Maintaining the central file station, the file indices, and the document logs.
- Generating and distributing bar code labels to the Records Coordinators.
- Training Records Coordinators and project participants on the use of the file indices and the document logs.
- Providing project-specific support for the development and implementation of the records management program as directed by the Manager, ISS.

4.0 Creation of Records

4.1 Records

Records are defined in 44 *United States Code*, Chapter 33, "Disposal of Records," Section 3301, "Definition of Records," as including "...all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them." This definition applies to records generated or received that support Monticello Program activities.

Factors considered in determining whether a document or other information qualifies as a record are

- The historic importance of the information as a specific and original source.
- The potential need for the information to support a legal claim or to verify a DOE or Rust position.
- The potential value of the information for investigations or audits.
- The value of the information in support of other records.

The requirements specified in Monticello Program guidance documents, DOE orders, and Federal regulations also will be evaluated to generate a list of record categories for the Monticello Program. The list of record categories forms the basis for the file indices. The file indices and the document logs (see Section 5.0) are focal points of the records management system.

4.2 Nonrecords

Nonrecord material includes those categories of documents or other material which may be disposed of without archival authority such as

- Library or museum material made or acquired for reference or exhibition purposes.
- Extra copies of documents preserved only for convenience of reference on which no action is recorded or taken.
- Stocks of publications or other processed documents that require no action and are not part of a case on which action is taken.
- Routing slips and transmittal sheets adding no information to that contained in the transmitted material, e.g., concurrences, direction on how to proceed or implement.

Nonrecord material must be segregated from records being maintained in the file stations. Nonrecord material and its location may be identified on the file indices. Nonrecord material is not incorporated in the document logs and may not be transferred to the central file station.

NOTE: Nonrecord material may, at some time, become record material. This occurs when circumstances surrounding the nonrecord materials changes. Should this occur, the material will be evaluated as events dictate and reclassified as applicable.

Any Monticello Program participant may request an evaluation to reclassify nonrecord material. The evaluation will be performed by the applicable Records Coordinator in conjunction with the ISS Records Management Coordinators, as necessary. The Manager, Monticello Programs, is responsible for the reclassification of nonrecord material.

4.3 Personal Papers

Personal papers consist of documents of private or nonofficial character that pertain only to an individual's personal affairs and must be kept in the offices of project participants because they overlap official responsibilities. Personal papers must be clearly designated as nonofficial records and must always be filed separately from official records. If matters requiring the transaction of official business are received in private personal correspondence, that portion of the correspondence pertaining to official business will be extracted and made part of the official records.

Materials labeled "personal," "confidential," or "private," or similarly identified, and used in the transaction of public business, are Federal records subject to the provisions of this Plan. The use of a label such as "personal" is not sufficient to determine the status of documentary materials.

5.0 Use and Active Storage

Regulatory guidelines and Monticello Program requirements define levels of protection for some categories of records during their useful lifetimes. The consequences of record loss or damage are evaluated to determine the appropriate degree of protection, control, and accountability to be imposed.

In accordance with the *Monticello Program Quality Assurance Program Plan* (P-GJPO-123), the standard requirements for records apply (intermediate-level requirements according to Section 13 of the *Management Policies Manual*). Monticello Program records shall be stored to prevent damage from moisture or heat and to keep them secure when they are in the possession of an individual outside the file stations. All records maintained in hard copy (paper) must be firmly attached to binders or placed in folders, envelopes, or boxes for storage in standard file cabinets or within containers on shelving. Provisions for specially processed records (such as magnetic tape, photographs, negatives, or microfilm) shall be made to protect the records from excessive light, heat, pressure, or electromagnetic fields.

For those records which the organization of primary responsibility (OPR) has designated as Quality (or Q) level records (e.g., *Rust Health and Safety Manual, Volume 1*, Procedure 1.4, "Records Management Plan"), the maximum-level records storage requirements apply according to Section 13 of the *Management Policies Manual*. The Monticello Programs organization provides temporary storage for Q-level records at the Monticello Area Office. The maximum allowable time for temporary storage of Monticello records is specified in the applicable file indices.

Once records are transferred to the central file station, ISS provides a single storage facility for the Q-level records.

5.1 File Indices

The file indices identify each record and/or file group to be maintained for each Monticello Program project (see Figures 5-1, 5-2, and 5-3).

The file indices include, at a minimum, the file number, file title/subject, file location, schedule for records transfer, and retention schedule. Project participants' use of the file numbers identified in the file indices is essential to ensure accurate retrievability and consolidation of records. When possible the applicable file number(s) should be designated on the face of the record in the lower right-hand corner or within the courtesy copy list. This number must coincide with the file number entered into the appropriate document log.

ISS maintains the file indices on the Rust central file server. All interested parties are able to view the file indices by using personal computers. To ensure integrity of the indices, modification of the indices is limited to ISS. Proposed revisions to the file indices are submitted to ISS for review, concurrence, and incorporation.

MRAP File Index

File	Title	Record Copy Holder	File Station Location (Building/Room)	Transfer Requirements	Retention Schedule	Annotations
MRAP 1.0 MONTICELLO PROGRAM ADMINISTRATION						
1.1	Federal Facilities Agreement (FFA) & Work Plan	PM	B810/R170	CFSBi	TBD	
1.1.1	Responsiveness Summary	PM	B810/R170	CFSBi	TBD	
1.1.2	Remedial Investigation/Feasibility Study (RI/FS) Process	PM	B810/R170	CFSBi	TBD	
1.1.3	Time Schedule	PM	B810/R170	CFSBi	TBD	
1.1.4	Applicable or Relevant/Appropriate Requirements (ARAR) Submittal	PM	B810/R170	CFSBi	TBD	
1.1.5	FFA Reports	PM	B810/R170	CFSBi	TBD	
1.1.5.1	Monthly Report	PM	B810/R170	CFSBi	TBD	BCAn
1.1.5.2	Quarterly Report	PM	B810/R170	CFSBi	TBD	BCAn
1.1.5.3	Quarterly Meeting	PM	B810/R170	CFSBi	TBD	BCAn
1.2	Hazard Ranking System Data/NPL Inclusion Information	EPA	B810/R170	TComp	TBD	
1.3	Project Management Plan	PM	B810/R170	Supersede	TBD	BCR
1.3.1	Signature/Initial Log	PM	B810/R170	CFS/An	TBD	
1.3.2	Program Management Plan <i>(draft only)</i>	PM	B810/R170	Supersede	TBD	BCR
1.3.3	Project Plan <i>(draft only)</i>	PM	B810/R170	Supersede	TBD	BCR
1.3.4	Programmatic Health & Safety Plan	PM	B810/R170	Supersede	TBD	IR/BCR
1.3.5	Programmatic Directives (& Log)	PM	B810/R170	Supersede	TBD	BCR
1.3.6	Configuration Management Plan	PM	B810/R170	Supersede	TBD	BCR
1.3.7	Site Management Plan	PM	B810/R170	Supersede	TBD	IR/BCR
1.3.8	Special Waste Management Plan	PM	B810/R170	Supersede	TBD	BCR
1.3.9	Records Management Plan <i>(previously MRAP 1.9)</i>	PM	B810/R170	Supersede	TBD	IR/BCR
1.3.9.1	Records of Review	PM	B810/R170	Supersede	TBD	BCR
1.3.10	Quality Assurance Program Plan <i>(previously MRAP 8.1)</i>	PM	B810/R170	Supersede	TBD	IR/BCR
1.3.11	Interim Waste Management Area Operating Plan and Procedures	PM	B810/R170	Supersede	TBD	IR/BCR

Figure 5-1, Sample MRAP File Index

MSGRAP File Index

File Title	Record Copy Holder	File Station Location (Building/Room)	Transfer Requirements	Retention Schedule	Annotations
MSGRAP 1.0 GENERAL PROJECT FILES					
1.1 Federal Facilities Agreement and Work Plan	PM	B810/R170	TComp	TBD	
1.1.1 Responsiveness Summary (FFA)	PM	B810/R170	TComp	TBD	
1.1.2 RI/FS Process (FFA)	PM	B810/R170	TComp	TBD	
1.1.3 Time Schedule (FFA)	PM	B810/R170	TComp	TBD	
1.1.4 ARAR's Submittal (FFA)	PM	B810/R170	TComp	TBD	
1.1.5 FFA Reports	PM	B810/R170	CFS/An	TBD	
1.1.5.1 FFA Monthly Reports	PM	B810/R170	CFS/An	TBD	
1.1.5.2 FFA Quarterly Reports	PM	B810/R170	CFS/An	TBD	
1.1.5.3 FFA Quarterly Meetings	PM	B810/R170	CFS/An	TBD	
1.2 Hazard Ranking System Data/NPL Inclusion Information	PM	B810/R170	TComp	TBD	
1.3 Project Plan (MSGRAP Project Plan)	PM	B810/R170	PComp	TBD	
1.4 Project Management Plan	PM	B810/R170	TComp	TBD	
1.5 Records Management Plan	PM	B810/R170	TComp	TBD	
1.6 Correspondence "to & from" and FAX's	PM	B810/R170	CFS/An	TBD	
1.6.1 Department of Energy	PM	B810/R170	CFS/An	TBD	
1.6.1.1 Incoming from Department of Energy	PM	B810/R170	CFS/An	TBD	
1.6.1.2 Outgoing to Department of Energy	PM	B810/R170	CFS/An	TBD	
1.6.2 EPA	PM	B810/R170	CFS/An	TBD	
1.6.3 State of Utah	PM	B810/R170	CFS/An	TBD	
1.6.4 Other	PM	B810/R170	CFS/An	TBD	
1.6.5 Rust Geotech Internal	PM	B810/R170	CFS/An	TBD	
1.6.6 Meeting/Telephone (Communications Logs)					
Conference Logs	PM	B810/R170	CFS/An	TBD	
1.6.7 Key Contact List	PM	B810/R170	CFS/An	TBD	

Figure 5-2, Sample MSGRAP File Index

MVP File Index						
File	Title	Record Copy Holder	File Station Location (Building/Room)	Transfer Requirements	Retention Schedule	Annotations
MVP 1.0 GENERAL PROJECT FILES						
1.1	Federal Facility Agreement and Work Plan	PM	B810/R170	TComp	TBD	
1.1.1	Responsiveness Summary (FFA)	PM	B810/R170	TComp	TBD	
1.1.2	RI/FS Process (FFA)	PM	B810/R170	TComp	TBD	
1.1.3	Time Schedule (FFA)	PM	B810/R170	TComp	TBD	
1.1.4	ARAR's Submittal (FFA)	PM	B810/R170	TComp	TBD	
1.1.5	FFA Reports	PM	B810/R170	CFS/An	TBD	
	1.1.5.1 Monthly Reports	PM	B810/R170	CFS/An	TBD	
	1.1.5.2 Quarterly Reports	PM	B810/R170	CFS/An	TBD	
	1.1.5.3 Quarterly Meetings	PM	B810/R170	CFS/An	TBD	
1.2	Hazard Ranking System Data/NPL Inclusion Information	PM	B810/R170	TComp	TBD	
1.3	Project Management Plan	PM	B810/R170	TComp	TBD	
1.3.1	Signature/Initial Log	PM	B810/R170	CFS/An	TBD	
1.3.2	Program Management Plan	PM	B810/R170	TComp	TBD	
1.3.3	Project Plan	PM	B810/R170	TComp	TBD	
1.3.4	Programmatic Health & Safety Plan	PM	B810/R170	TComp	TBD	
1.3.5	Programmatic Directives (& Log)	PM	B810/R170	TComp	TBD	
1.3.6	Configuration Management Plan	PM	B810/R170	TComp	TBD	
1.3.7	Site Management Plan	PM	B810/R170	TComp	TBD	
1.3.8	Special Waste Management Plan	PM	B810/R170	TComp	TBD	
1.4	Equivalency of Documentation	PM	B810/R170	TComp	TBD	
1.5	Applicable or Relevant and Appropriate Requirements	PM	B810/R170	TComp	TBD	

Figure 5-3, Sample MVP File Index

Functional organizations may choose to provide a more detailed breakdown of the applicable sections of the file indices. Such detailed breakdowns are submitted and processed as revisions.

NOTE: As the file indices are working documents and subject to frequent revision, their inclusion with this Plan are for reference only. Project participants requiring a hard-copy may print one from the Rust central file server or request a copy from ISS.

5.2 Document Logs

The document logs are project-specific, computerized data bases maintained by ISS that identify each record or file group. The document logs incorporate the use of bar code technology to minimize filing errors when records are consolidated in the central file station and to facilitate tracking records maintained at the central and ancillary file stations. Bar code labels are generated by ISS personnel who numerically assign and distribute the labels to the Records Coordinators.

The document logs, located on the Rust central file server, contain the following fields of data: to, from, title, file number, document date, file station/location, date sent to central file station, retention category, records coordinator, organization of primary responsibility (OPR), date received by RM (Records Management, a functional group in ISS), checked out by, date checked out, void, duplicate, and document number. All fields in the data on the document logs may be queried individually or in combination.

All project participants have "read only" access to browse the document logs to determine the availability and location of project records. Records Coordinators responsible for ancillary file stations may add records to the document logs. ISS personnel will generate bar code labels and add, edit, and void record entries as necessary.

5.3 File Stations

File stations are established to ensure that required records can be retrieved promptly, records protection and retention requirements are implemented, and disposition of noncurrent records is accomplished.

From the time a record is received in a file station, access is controlled. Records are consolidated at the file stations according to the file indices. Removal of a record from its file location, for any reason, will be noted on an "in/out card," or other system (such as the bar code tracking system used by ISS), and the responsible individual identified. Tracking of the removal of records provides positive control of the movement and location of records during the period of active use.

Delays in returning records to a file station must receive the concurrence of the applicable Records Coordinator.

5.3.1 Central File Station

The central file station for Monticello Program records is established and maintained by ISS at the Grand Junction Projects Office (GJPO). This file station satisfies applicable records storage, protection, and accessibility requirements for all program records.

5.3.2 Ancillary File Stations

Ancillary file stations may be established within functional organizations at the GJPO and/or a site-specific area office as program needs dictate. The file station must satisfy the requirements for proper protection, storage, and accessibility. If the requirements cannot be satisfied, the records must be transferred to the central file station.

5.4 Folios

Folios are folders of information and documentation pertaining to the remediation of specific vicinity or peripheral properties. The properties to be remediated have been identified through the FFA. Vicinity and peripheral properties are tracked in the MVP Project or MPP Project tracking data bases, as applicable.

Folios, located in the central file station, and the accompanying tracking data base are maintained by ISS. Upon completion of remediation activities and expiration of the warranty period, the property folios will be closed out and bar coded. The folios are then incorporated with MVP Project and MPP Project administrative documentation maintained in the central file.

5.5 Records Turnover to Central File Station

Records must be transferred to the central file station according to the schedules on the file indices. Records must be bar coded and the necessary information entered into the document logs by the applicable Records Coordinator before turnover. Records received from ancillary file stations will be integrated with the related records maintained at the central file station. Delays in transferring records must receive concurrence of ISS.

Records may be transferred to the central file station prior to the schedules identified on the file indices when

- Records are no longer required for reference.
- Space restrictions limit additional records accumulation.
- The requirements for proper protection, storage, and accessibility of records cannot be met.

Records transferred to the central file station will be reviewed by responsible ISS personnel to verify legibility, completeness, and continuity. Records evaluated as unacceptable will be returned to the sender for correction. Figure 5.4 provides the central file station's criteria for acceptance of records.

5.6 Authentication of Project Records

Authentication is a technical review of the content of records to ensure they are complete and correct according to project requirements. The authentication may be in the form of a signature, initials, or statement by the Manager, Monticello Programs. The Manager, Monticello Programs, designates those individuals authorized to authenticate project records.

NOTE: Initials are considered valid only if a list of initials and corresponding signatures are maintained.

Criteria for Acceptance of Records at the Central File Station

The criteria for accepting records apply to all Monticello Program records submitted to the ISS central file station for processing, consolidation, and retention.

1. The record must be legible. There must be a clear, distinct image with a sharp contrast between the character or pictorial information recorded and the recording medium (paper).
2. The record must be complete. No portions of a page can be missing because of tearing or folding of record edges that obliterates recorded information.
3. Black line drawings are preferred to blueprint or sepia copies. If blueline or sepia drawings are the only copies available, they must not be folded, but rather rolled for storage or transmittal. They shall be stored in the central file station's map files.
4. Typewritten text shall be printed with clean, multi strike ribbons.
5. To the extent feasible, records shall not have bar codes, stamps, or other marks that intersect and obliterate the text.
6. Records must not have any information scratched out or obliterated or other extraneous information handwritten on the record with the exception of appropriate corrections.
7. Records shall be sent unbound or loose-leaf when possible.
8. If photocopies are submitted as the record copy, they must be legible. The copy image must be aligned properly. Optically skewed images are not acceptable.
9. No photo reductions of data are acceptable unless the image is clear and legible. Letters and other characters must be spaced so the background areas between them are approximately equal.
10. To the extent possible, the use of colored paper as a recording medium shall be avoided. The contrast between the data recorded and the color of the paper is normally inadequate.
11. If original records are not available for transfer to the central file station, the copies submitted for processing must be as close to the original as possible.

Records that do not meet the criteria of this appendix, but are still readable, shall be marked "Best Available Copy" and processed without requiring further documentation.

Figure 5-4, Acceptance Criteria

5.7 Company Records

Some Company records are generated that are not project specific; however, these records may support project activities. Such records are typically maintained by the functional organization that generates the records (e.g., records for qualification and certification of personnel are maintained by Training and Development). Because these records are frequently referenced, updated, and transferred, their removal would impair ongoing operations. Inactive company records are transferred to the central file station for storage according to the procedures in Section 13 of the *Management Policies Manual*.

Records protected under the Privacy Act of 1974, including personnel and medical records, shall not be included in the project-specific files. Such records shall be maintained by appropriate Rust functional organizations according to applicable organizational procedures and DOE Order 1800.1A, *Privacy Act*.

6.0 Retention

The retention period for the Monticello Program records is defined in Section XXI of the FFA. Records are to be retained for a minimum of 10 years after termination of the FFA despite any document retention policy to the contrary. After the 10 years, DOE must notify the EPA and the State of Utah 45 days in advance of the intent to destroy or dispose of the records. Upon request by the EPA or the State of Utah, DOE shall make available such records or documents to either party.

The above-listed retention period has not been approved by NARA. Therefore, proposed retention schedules must be developed, submitted, and approved following procedures outlined in DOE Order 1324.2A, *Records Disposition*. The retention period identified on the file indices will be listed as "To Be Determined" or "TBD" until the required approvals are received.

The proposed retention period for Monticello Program records relating to project administration is 10 years after termination of the FFA. Permanent retention is proposed for those records relating to remediation; project closure; and environmental, health, and safety activities.

In accordance with the requirements of Title 36 of the *Code of Federal Regulations*, Part 1228, Subpart H, "Transfer of Records from the Custody of One Executive Agency to Another," no records shall be transferred without the prior written approval of NARA.

7.0 Inactive Storage

Inactive records are boxed and transferred from the central file station to inactive (low-cost) storage upon project completion. During the period of inactive storage, records are kept under the surveillance of ISS until final disposition. The records continue to be retrievable during this period. Records are transferred to inactive storage using the Records Transfer Transmittal form (GJPO 1352) and according to procedures outlined in Section 13 of the *Management Policies Manual*.

8.0 Disposition

Disposition includes removing inactive/noncurrent records from project participants' office space to records holding areas (e.g., central file station, Federal records center); destroying records as authorized under approved schedules; transferring records to another Federal agency according to project-specific requirements; or transferring the records to NARA for permanent retention. Records transfers are authorized by ISS, in conjunction with the Manager, Monticello Programs and approved by DOE and NARA, as applicable.

9.0 References

Regulations and procedures applicable to the implementation of the *Monticello Program Records Management Plan* may be found in the following documents:

Title 44, *United States Code*, Chapter 33, "Disposal of Records."

Title 36, *Code of Federal Regulations*, Part 1222, "Creation and Maintenance of Records; Adequate and Proper Documentation."

Title 36, *Code of Federal Regulations*, Part 1228, "Disposition of Federal Records."

U.S. DOE Order 1324.2A, *Records Disposition*.

U.S. DOE Order 1324.5A, *Records Management Program*.

Rust Geotech, *Management Policies Manual* (Manual 100), Section 7, "Quality Assurance" and Section 13, "Records Management."

Rust Geotech, *Quality Assurance Manual* (Manual 101), Criterion 4, "Documents and Records" and Criterion 9, "Management Assessment."

Rust Geotech, *Health and Safety Manual, Volume 1* (Manual 103), Procedure 1.4, "Records Management Plan."

Rust Geotech, *Monticello Program Quality Assurance Program Plan*, P-GJPO-123.

Appendix A
Update and Use of the
Monticello Projects Document Logs

A1.0 Purpose and Scope

All Monticello projects, i.e., Monticello Vicinity Properties (MVP) Project, Monticello Remedial Action Project (MRAP), and Monticello Surface- and Ground-Water Remedial Action Project (MSGRAP), records will be tracked to maintain traceability and control. Bar code technology (label generation and scanning principles) will be used in conjunction with the MVP, MRAP, and MSGRAP document logs to expedite the tracking and logging processes.

This procedure describes the process for applying bar code labels and updating the database that contains the *MVP Document Log*, *MRAP Document Log*, and *MSGRAP Document Log*. It applies to the documents created as a result of the Monticello projects.

A2.0 Definitions

Bar Code Label—A self-sticking label consisting of printed and variously patterned bars and spaces that is designed to be read and scanned into computer memory as an identification for the object to which it has been affixed.

Document Log—An electronic log, sometimes referred to as a record log, containing key information for tracking and controlling documents including, but not limited to, the bar code number, file number, document date, current file station location, current custody (if checked out by an individual), and organization responsible for the document. The log is available in both electronic and hard-copy forms.

Record File—For purposes of this procedure, a record file will be the compilation of information organized under one bar code number in the applicable document log.

A3.0 Responsibilities

A3.1 Records Coordinators

Each Records Coordinator will

- Ensure that records for which their organization is responsible are bar coded and logged in the applicable Monticello Projects document log.
- Verify that the file number on the record is correct before logging the record in the applicable Monticello project document log.
- Ensure that the data in the applicable Monticello project document log is complete for records within their responsibility.
- Notify the responsible Information Support Services (ISS) Records Management Coordinator of error messages or data entry anomalies.

A3.2 The ISS Records Management Coordinator

The responsible ISS Records Management Coordinator will

- Develop an electronic tracking log on the Rust Geotech central file server for each of the Monticello projects.
- Update the applicable Monticello project document log when records are received at the central file station.
- Track and distribute bar code labels to Records Coordinators with Monticello project responsibilities and ensure that no duplicate numbers are issued.
- Resolve data-entry problems with the Records Coordinators.
- Provide copies of the *FoxPro 2.0 Interface Guide*, Chapter 14, "Relational Query By Example (RQBE)" to the Records Coordinators upon request.

A3.3 Monticello Program Manager

The Monticello Program Manager, or designee, will approve all modifications to the Monticello projects document logs and database software.

A4.0 Bar Code Labels

Bar code labels are used on records to improve retrievability and facilitate tracking records maintained at the central and ancillary file stations. Bar code labels are sequentially generated with alphas and numerics. The following alphas are coded on the bar code labels to reflect the files in the applicable Monticello project file index:

- **MNVP**—Monticello Vicinity Properties.
- **MRAP**—Monticello Remedial Action Project.
- **MSGW**—Monticello Surface- and Ground-Water Remedial Action Project.

The responsible Records Coordinator will request labels from the responsible ISS Records Management Coordinator, ensuring that they contain the applicable alphas for the records.

A4.1 Labels for Individual Records

As the bar code labels are applied to the record copy in the upper right-hand corner of the record, the file index number will be validated. If the validated file index number is not already on the document's distribution list, it will be written on the face of the record in the upper or lower right-hand corner. If an incorrect file number has been listed in the distribution list, it will be corrected by drawing a single line through the information to be deleted. Legible writing must be used when inserting the new file number.

The Records Coordinator must ensure that each document with a bar code label has a title or description available for data entry.

A4.2 Labels for Multiple Records

Under most circumstances *each* Monticello record will receive its own bar code label. However, certain file groups that are regularly generated *and* will most likely be used as a group

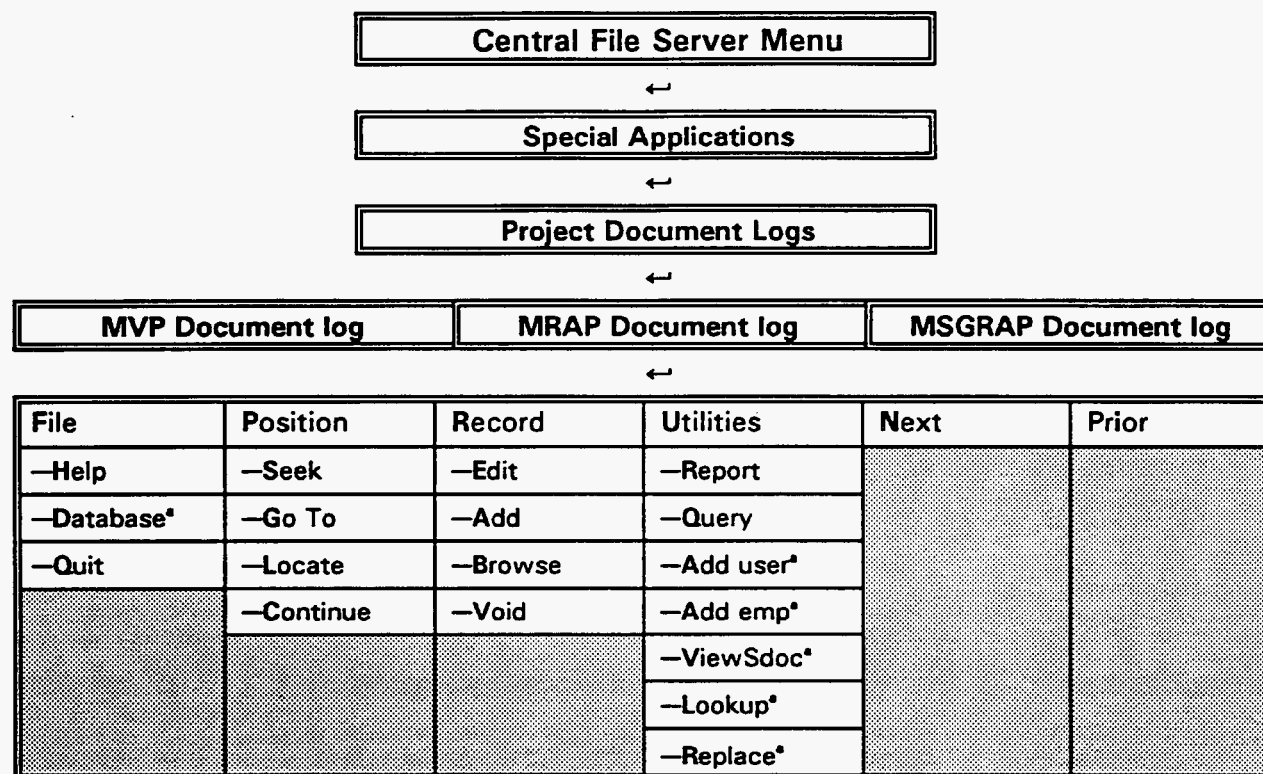
may receive a single bar code by clearly labeling the folder (file number, file title, and record period) in which they are maintained and applying the bar code label to the right-hand corner of the folder. The file groups containing records that are eligible for a single bar code will be annotated in the applicable Monticello Projects file index.

The following types of records will be assembled and packaged as a group and entered under one bar code label number. Consult the applicable file index for the applicable frequency, as well as other file groups that can be packaged for bar coding.

- Routine weekly meeting minutes.
- Records of review.
- Routine tracking reports.

A5.0 Updating the Document Log

The Monticello projects document logs are maintained on the central file server as a **Project Document Log** within the **Special Application** section. (See Figure A5-1 for the database road map.) The database provides all the necessary prompts for entering and saving the data.



*These commands are used only by ISS and the Monticello Program Manager, or designee, for management of the database.

Figure A5-1, Monticello Projects Document Logs Database Road Map

Each record or record package with a bar code label will be entered into the applicable Monticello projects document log. The Records Coordinator is ultimately responsible for the accuracy and completeness of the unique data regarding the records in their custody. The responsible ISS Records Management Coordinator is ultimately responsible for the generic data entered by the system and for the information pertaining to records' checkout from and storage in the central file station. Data entry will be accomplished as described in the following sections.

A5.1 General Update Rules

The following summarizes the basic elements for using the document logs:

- **Uppercase Data Entry**—All data entry must be performed using uppercase letters.
- **Selecting Database Commands**—As with other FoxPro applications, database commands may be selected by highlighting the command and pressing **←Enter** or by typing the highlighted letter of the command.
- **Exiting the Database**—A session may be terminated by selecting **File** then **Quit**.
NOTE: Care should be taken to save additions or corrections before terminating the session.
- **Error Messages**—When an error message occurs, attempt exiting the database by performing a soft reboot (simultaneously select **Ctrl**, **Alt**, and **Delete**). If the soft reboot is not successful, the computer must be restarted.

The error message is an indication that the integrity of the record file(s) has been damaged. To minimize loss of data from the input session, the responsible ISS Records Management Coordinator should be immediately notified. When the record file has been restored, the ISS Records Management Coordinator will notify the Records Coordinator. The entries from the input session can be checked at that time.

ISS will analyze the errors for trends and recommend database changes to the Monticello Program Manager or designee to resolve the problems.
- **Correcting Errors**—Although it is easier to correct errors during initial data entry, they can be corrected at any time. If the correction is made during initial data entry, all the fields of information must be filled in before backspacing to the error needing correction can occur.

If the error is found after initial data entry, the edit mode (select **Record** then **Edit**) must be used. The **←Enter** key will permit scrolling through the data that needs correction. After scrolling to the bottom of the edited record file, additional record files may be chosen (select **Previous** or **Next**) or the editing session may be terminated.
- **Help Screens**—The database is equipped with pull-down help screens. If additional help is still needed, contact the ISS Records Management Coordinator assigned to the applicable Monticello project.

A5.2 Data Entered by the Records Coordinator

To add a record file to the document log (select **Record** then **Add**), the Records Coordinator, or designee, will complete the following fields of information within the appropriate log (i.e., MVP, MRAP, or MSGRAP) matching the bar code:

- **To**—Enter the document recipient, exactly as presented on the document. If the document was sent to a distribution list, enter "Distribution." If no recipient is specified (i.e., a letter to file), enter "File."
- **From**—Enter the author's name as presented in the document (first name or initial, then last name). If the author is not known (e.g., a procedure or project implementation plan), enter the complete name of the organization that prepared the document.
- **Title**—Enter a document description for each record with a bar coded label. (Function key 9 [F9] provides access to the input screen.) For correspondence, the description should consist of the complete subject line for the document including all referenced tracking numbers. For other documents, the description should contain the complete document title, including the revision number and document number. If the document's title is generic, add additional details from the text of the document. The description must contain sufficient detail so that the document can be efficiently identified for retrieval.

If the record media is other than paper, input the type of media in brackets (e.g., [35 mm negatives], [color prints], [video], [audiotape], or [sepia]) at the end of the document description.

NOTE: The information must be saved [F10] at this time in order to continue with data entry.

- **File Number**—Enter the file number. By the time of data entry, the file number has already been validated by the Records Coordinator. The validated file number will be found in the distribution list or in the upper or lower right-hand corner of the record. The file number will be entered without any spaces between alphas or numerics.

Although the alpha (MNVP, MRAP, or MSGW) will be entered automatically by the system, the file number must be entered with a *zero* before all single digit numbers. For example, file number MRAP 1.2 would be entered as **01.02** and MNVP 3.1.4.14 would be entered as **03.01.04.14**.

- **Document Date**—Enter the issue or effective date of the document. The format will be a 6-digit number representing the month, the day, and then the year (e.g., March 3, 1995, would be entered as **03/03/95**). For those files that may be packaged as a group, the database will provide space to enter the beginning and end date.
- **Records Coordinator**—Enter the initials of the person responsible for entering the data into the database (e.g., JFK).

- **Document Number**—Enter the document number, which is the actual alphanumeric combination on the bar code label (e.g., MRAP133). Only the *number* on the label will be entered (e.g., bar code label number MRAP133 will be entered as 133).

A5.3 Data Entered Automatically

The following fields of information will be automatically generated by the database when the complete file index number is entered:

- **File Station Location**—Information for this field is obtained from the project index under the corresponding heading.
- **Transfer To Central File**—Information for this field is obtained from the project index under the corresponding heading.
- **Retention Schedule**—Information for this field is obtained from the project index under the corresponding heading.
- **Record Copy Holder**—Information for this field reflects the organization that is currently responsible for storage of the record prior to sending it to the central file station.

A5.4 Data Entered by the ISS Records Management Coordinator

The following fields of information will be generated by the database or entered by the ISS Records Management Coordinator after the records are physically transferred from the records holder to the central file station. (Only the ISS Records Management Coordinator may enter or edit the information in these fields.)

- **Central File Location**—The box number or shelf number in the central file station will be entered. (This entry will be accomplished by either manual entry or scanning.)
- **OPR**—The organization with primary responsibility will be automatically entered by the database when ISS personnel begin data entry.
- **Date Received by RM**—After the records have been inspected by the ISS Records Coordinator, the date will be entered in the database. (This date is entered automatically by the database.)
- **Checked Out By**—The employee number will be entered when the records are checked out of the central file station. (This will be accomplished by either manual entry or scanning.)
- **Date Checked Out**—The date the document is being checked out will be scanned or manually entered.

- **Void**—If the document number must be voided (e.g., when the record has been sent to the central file station more than once), the ISS Records Management Coordinator will enter **T** for true; otherwise, the data field automatically defaults to an **F** for false.
- **Duplicate**—If the same document number has been entered in the system twice, the database will automatically enter **T** for true; otherwise, the data field automatically defaults to an **F** for false.

NOTE: The responsible ISS Records Management Coordinator will reconcile all duplicates.

A5.5 Saving the Input

A5.5.1 Saving the Initial Input

To save any input, select **↵Enter** when the cursor is at the end of the record file being created (i.e., the document number data field). If there are no errors in the text, select **Yes** to save the records file. If there are errors in the text, backspace to make corrections. If **No** is selected, the record file will be deleted.

A5.5.2 Saving Additions and Corrections

If the input is an addition or correction to the record file, the input will be saved as soon as **↵Enter** is selected when the cursor is at the end of the record file being entered (i.e., the document number data field). The record file will have to be accessed again to make additional corrections.

A5.5.3 Printing the Initial Input and Corrections

Before quitting the session, the database automatically offers a print option. By selecting **Print**, all record files that have been input or altered during the current session will be printed in a brief summary report. The session can be terminated without generating a report by selecting **Exit**.

A6.0 Receipt at the Central File Station

Records will be logged (i.e., the file station location and the records coordinators initials will be updated) into the applicable Monticello document log by the ISS Records Management Coordinator upon receipt at the central file station. After the records have passed the Level 3 Inspection performed by ISS personnel, the remaining fields in the database will be updated and the records will be filed.

A7.0 Use of the Document Log

All personnel with access to the central file server may view or print data from the Monticello document logs. The **Utilities** menu should be used to perform unique searches for records. If the

bar code number is known, the **Position** menu should be used to locate the record file. (Refer to Figure A5-1.)

A7.1 Simple Record File Searches

After selecting **Query** from the **Utilities** menu, the following parameters may be used for a simple search. Using the mouse will increase the execution efficiency. The standardized report presented in Section A7.2 will display the key fields of data describing the record, e.g., author, recipient, title and all data entered in the memo field that follows the title, file number, document date, and document number. It is beneficial to set up the standardized report before establishing the search parameters if the memo field is part of the information that needs to be viewed.

- Using the mouse, pull down the menu under **Field Name** to select the data field to query.
- Check the **Not** box as appropriate for the search operation.
- Using the mouse, pull down the type of operation that is desired (e.g., like, exactly like, between, more than, less than, and in).
- Enter an **Example**, i.e., the search parameter. If the search is going to be in a memo field (e.g., the title field) the search parameter must be entered in the following form: "%search parameter%". (Before using multiple parameters, consult the *FoxPro 2.0 Interface Guide*.)

NOTE: The quotes must be used in the search parameter.

- Use the **Selection Criteria** (Insert, Remove, and Or) to edit the parameters.
- Check the **Up~Lo** box for uppercase and lowercase search, or leave it blank for an uppercase only search.
- Select **Do Query** to initiate the search.

Consult Chapter 14 of the *FoxPro 2.0 Interface Guide* for added direction on searches or contact the responsible ISS Records Management Coordinator.

A7.2 Reports

A7.2.1 Standardized Report

A standardized report format containing key fields of information has been developed to simplify access to key record information. Using this report format will minimize report generation time. After selecting **Query** from the **Utilities** menu and establishing the search parameters (see Section A7.1), the following steps may be used to effect the standardized report. Using the mouse will increase the execution efficiency.

- Using the mouse, pull down the **Browse** criteria to select **Report/Label**.

- Select **Options**, then select **Report**. Sequentially check **Report/Label Form Name**, [...], then the report file name, **ADHOC.FRX**. These selections will load the standardized report format. Select **< OK >** to preview the report. (This is the default selection.)

If a report preview is not desired, click on **Preview Report/Label** (under **Options**) to remove the default command, then select the desired **Output Destination**.

- Select **Do Query** to initiate generation of the report.

Consult Chapter 14 of the *FoxPro 2.0 Interface Guide* for added direction on searches or contact the ISS Records Management Coordinator.

A7.2.2 Other Report Options

The **Utilities** menu is used to generate customized reports. Copies of Chapter 14 of the *FoxPro 2.0 Interface Guide* are available upon request from the responsible ISS Records Management Coordinator. If the guide does not provide adequate guidance to generate the desired report, contact the responsible ISS Records Management Coordinator.

A7.2.3 Single Record Reports

To print a single record file, use the **Print Screen** key.

A8.0 References

FoxPro 2.0 Interface Guide, Chapter 14, "Relational Query By Example (RQBE)."

9.0 Records

The following administrative records are created through implementation of this procedure:

- *MRAP Document Log*
- *MVP Document Log*
- *MSGRAP Document Log*